

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Atsushi NAKAMURA et al. : Attn: BOX PCT
Serial No. NEW : Docket No. 2001_1856A
Filed December 19, 2001 :

OPTICAL DISC, OPTICAL DISC DRIVE,
AND OPTICAL DISC PLAYBACK METHOD
[Corresponding to PCT/JP00/04026
Filed June 21, 2000]

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. _____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☒ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:

JP 9-128763 corresponds to U.S. Patent 5,696,743; and
JP 10-500525 corresponds to WO 96/28818.

5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Atsushi NAKAMURA et al.

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December 19, 2001

Sheet 1 of 1							
FORM PTO 1449 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary) Date Submitted to PTO: December 19, 2001				ATTY DOCKET NO. 2001_1856A		SERIAL NO. NEW	
APPLICANT Atsushi NAKAMURA et al.				FILING DATE December 19, 2001			
GROUP							
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,696,743	12/9/97	Kawasaki			
	AB						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AC	11-39657	2/12/99	JP			Abstract
	AD	11-3550	1/6/99	JP			Abstract
	AE	11-25467	1/29/99	JP			Abstract
	AF	0 807 926	11/19/97	EP			
	AG	0 724 256	7/31/96	EP			
	AH	9-320084	12/12/97	JP			Abstract
	AI	9-128804	5/16/97	JP			Abstract
	AJ	63-263644	10/31/88	JP			Abstract
	AK	9-128763	5/16/97	JP			Abstract
	AL	10-11808	1/16/98	JP			Abstract
	AM	10-500525	1/13/98	JP			
	AN	96/28818	9/19/96	WO			
	AO						
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AP						
	AQ						
EXAMINER				DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.